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|---|--|---|--|---|--|
| FORM PTO-1390<br>(REV. 01-2003)   |  | US DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE |  | ATTORNEY'S DOCKET NUMBER<br>121213  |  |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A FILING UNDER 35 U.S.C. 371</b>   |  |   |  | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br>New U.S. National Stage of PCT/JP03/04408<br><div style="font-size: 1.5em; font-weight: bold;">10/509177</div> |  |
| INTERNATIONAL APPLICATION NO.<br>PCT/JP03/04408   |  | INTERNATIONAL FILING DATE<br>April 7, 2003          |  | PRIORITY DATE CLAIMED<br>April 9, 2002  |  |
| TITLE OF INVENTION<br>VAPOR PHASE GROWTH METHOD FOR AI-CONTAINING III-V GROUP COMPOUND SEMICONDUCTOR, AND METHOD<br>AND DEVICE FOR PRODUCING AI-CONTAINING III-V GROUP COMPOUND SEMICONDUCTOR   |  |   |  |   |  |
| APPLICANT(S) FOR DO/EO/US<br>Akinori KOUKITSU; Yoshinao KUMAGAI; Tomohiro MARUI   |  |   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |  |   |  |
| <ol style="list-style-type: none"> <li>1.   <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2.   <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3.   <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4.   <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5.   <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a.   <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b.   <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c.   <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6.   <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a.   <input checked="" type="checkbox"/> is attached hereto.</li> <li>b.   <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> <li>c.   <input type="checkbox"/> The International Application was filed in English.</li> </ol> </li> <li>7.   <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li>a.   <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b.   <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c.   <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d.   <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8.   <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9.   <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10.   <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> |  |   |  |   |  |
| <b>Items 11 to 20 below concern document(s) or information included:</b>  |  |   |  |   |  |
| <ol style="list-style-type: none"> <li>11.   <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12.   <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13.   <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14.   <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15.   <input type="checkbox"/> A substitute specification.</li> <li>16.   <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17.   <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>18.   <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19.   <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20.   <input checked="" type="checkbox"/> Other items or information: Designation of Ten Attorneys for Power of Attorney</li> </ol>  |  |   |  |   |  |

U.S. APPLICATION NO. **10/509177**  
 New U.S. National Stage of  
 PCT/JP03/04408

INTERNATIONAL APPLICATION NO.  
 PCT/JP03/04408

ATTORNEY'S DOCKET NUMBER  
 121213

21. ☒ The following fees are submitted:

**CALCULATIONS** PTO USE ONLY

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482) nor  
 international search fee (37 CFR 1.445(a)(2)) paid to USPTO and  
 International Search Report not prepared by the EPO or JPO.....**\$1,080.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
 but International Search Report prepared by the EPO or JPO..... **\$ 920.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
 but international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... **\$ 770.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO but  
 all claims did not satisfy provisions of PCT Article 33(1)-(4)..... **\$ 730.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO and  
 all claims satisfied provisions of PCT Article 33(1)-(4)..... **\$ 100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than 30 months from the  
 earliest claimed priority date (37 CFR 1.492(e)).

| CLAIMS                                     | NUMBER FILED | NUMBER EXTRA | RATE       | \$   |
|--|--------------|--------------|------------|------|
| Total Claims                               | 17 - 20 =    | 0            | X \$ 18.00 | \$   |
| Independent Claims                         | 4 - 3 =      | 1            | X \$ 86.00 | \$86 |
| MULTIPLE DEPENDENT CLAIM(S)(if applicable) |              |              | + \$290.00 | \$   |

**TOTAL OF ABOVE CALCULATIONS =**

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are  
 reduced by 1/2.

**SUBTOTAL =**

Processing fee of **\$130.00** for furnishing the English translation later than 30 months from  
 the earliest claimed priority date (37 CFR 1.492(f)).

**TOTAL NATIONAL FEE =**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
 accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

**TOTAL FEES ENCLOSED =**

Amount to be  
 refunded: \$  
 charged: \$

- a. ☒ A check in the amount of **\$1006** to cover the above fees is enclosed.  
 b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees. A duplicate copy of this  
 sheet is enclosed.  
 c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
 Deposit Account No. **15-0461**. A duplicate copy of this sheet is enclosed.  
 d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card**  
**information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b))  
 must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

OLIFF & BERRIDGE, PLC  
 Customer Number: 25944

Date September 27, 2004

NAME: James A. Olt  
 REGISTRATION NUMBER: 27,075

NAME: Joel S. Armstrong  
 REGISTRATION NUMBER: 36,430